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CENTRAL FAX CENTER****SEP 12 2005****PATENT  
71030-001**

Application Serial No. : 09/748,510  
Applicant : Fred Pittroff  
Filed : 26 December 2000  
Title : SYSTEMS AND METHODS FOR ENTERPRISE BASED  
ISSUANCE OF IDENTIFICATION CARDS  
Art Unit : 3624  
Examiner : James Alpert  
Docket Number : 71030-001 (formerly 19571.000)

Mail Stop AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

### **RULE 131 DECLARATION**

Pursuant to rule 37 CFR 1.131, this Declaration is presented to provide the Examiner with certain facts establishing an evidentiary basis to remove U.S. Patent No. 6,877,656 (filed on 24 October 2000 and issued 12 April 2005; hereinafter "Jaros") as a reference against the present claims.

1. My name is Fredrick L. Pittroff, and I am the sole named inventor in the above-identified patent application.

2. Exhibit A to this Declaration is a photostatic copy of a small portion of my design notes as I developed the Enterprise Edition of the CardWizard® program for identification card issuance. Exhibit A bears a date of January 20, 2000.

2.1. Exhibit A shows the structure of the claimed system of independent claim 1 of my patent application at, for example, the figure on page 2, the figure on page 3, the figure on page 5, and in associated supporting text on pages 1 through 7 thereof.

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2.2. Exhibit A to this Declaration also shows the method of independent claim 11 in discussing the overview of operation of the Enterprise Edition on page 7. Further, the method of independent claim 11 is implicitly shown on pages 5-6 where the routing of identification card requests in the Enterprise Edition and associated data structures therefor are discussed.

3. Exhibit B to this Declaration is a photostatic copy of an excerpt of a small portion of my design notes as I developed the Enterprise Edition of the CardWizard® program for identification card issuance. Exhibit B bears a date of July 9, 1999.

3.1. Exhibit B to this Declaration shows the method of independent claim 11 on page 5 in "Scenarios" for the routing of data and requests within the Enterprise Edition of the CardWizard® program. Further, the method of independent claim 11 is implicitly shown on pages 6-11 where the specific exemplary methods and user interface displays are discussed for routing of production of identification card requests in the Enterprise Edition.

4. Dependent claims 2-10 and 12-15 further narrow the features of the claimed invention relative to their respective independent base claims (i.e., 1 and 11)

5. The evidentiary showing herein is sufficient to document that I, the Applicant, had fully conceived of the invention at least as early as July 9, 1999.

6. The date July 9, 1999 predates the earliest priority date of Jaros, the earliest priority date of which is October 24, 2000.

7. I diligently pursued patenting of this invention by contacting Mr. Dan Fishman (registered patent attorney) in about April 2000 and I pursued interaction with Mr. Fishman as

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time and budget permitted to complete the preparation and filing of the patent application in December of 2000.

7. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. § 1001, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: 08/23/2005


By: Fredrick L. Pittroff  
Fredrick L. Pittroff

STATE OF Colorado )  
 ) ss.  
COUNTY OF Denver )

On this 23 day of August, 2005, before me, the undersigned, a Notary Public within and for said County and State, personally appeared Fredrick L. Pittroff, to me known to be the person described in and who executed the foregoing instrument, and acknowledged that he executed the same as his free act and deed.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my official seal at my office in Boulder, Colorado.



  
Notary Public in and for said  
County and State

Max Heyman  
(Type, print or stamp the Notary's  
name below his or her signature)

**My Commission Expires:**

**My Commission Expires:**  
**December 22, 2008**

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**Exhibit A**

## Enterprise Edition

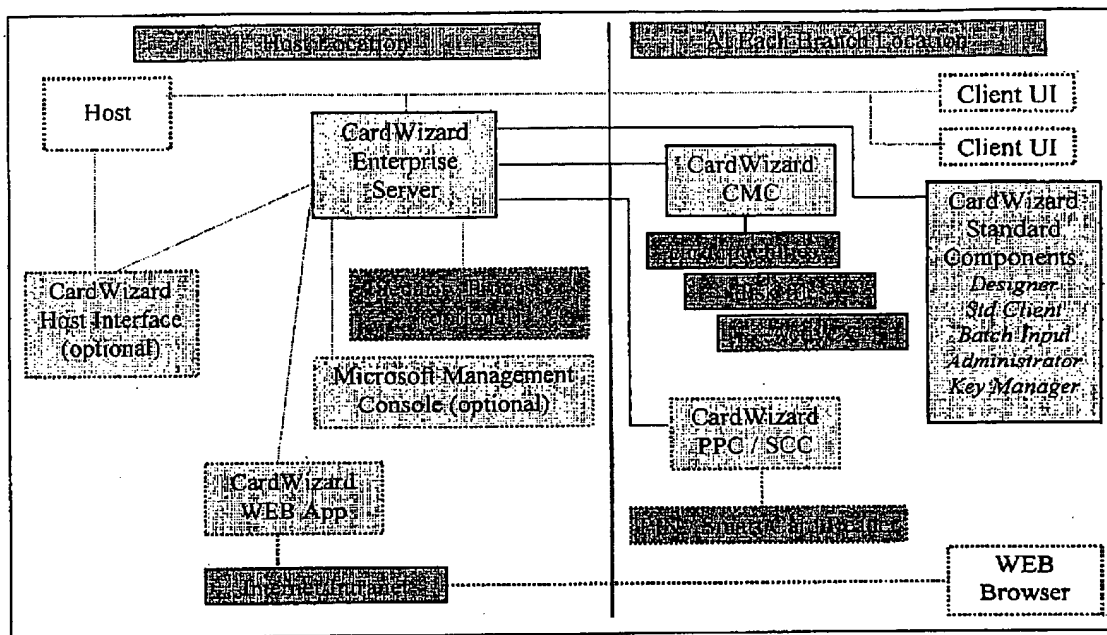
CardWizard™ Enterprise Edition extends the capabilities of the current CardWizard system for larger financial institutions by providing increased flexibility, security and scalability. The Enterprise Edition can be integrated into a variety of network installations to meet a variety of needs.

Only one Enterprise Server component is required and can be securely located at the host system. Card machines are controlled by a "Card Machine Controller component" (CMC) that resides on the PC connected to the card machines. Other CardWizard components (Administrator, Standard Client, Designer, Batch Input, and Key Manager) can be used anywhere in the network. More than one card machine can be located in a branch. Optionally, PIN Pad Controller (PPC) and/or Smart Card Controller (SCC) components are available for customer selected PINs, and accessing Smart Cards using external readers. \*\*

### Features

- Single CardWizard Enterprise Server component is used by the entire CardWizard network
- Works with TCP/IP networks using any combination of Windows NT 4.0, Windows 95/98 machines.
- Single database for entire network
- Easy migration for users of current CardWizard system. Client components remain the same.
- Flexible security for controlling user and machine access within the CardWizard network
- Centralized branch and system reporting
- Designed for easy installation and support
- Support for various types of card embossing and card encoder devices
- Up to four card personalization devices can be attached to a single PC
- Cards entered can be optionally queued into Production Queues for later production
- Information for cards can be optionally stored into disk files or sent to an external ActiveX component
- Card and PIN Mailers can be easily designed and produced for selected card formats anywhere in the network
- Easy interface for customized smart card applications
- Optional *Security Processor* support for secure storage of financial keys and encryption processing for the Enterprise Server\*\*
- Can optionally utilize Windows NT security system for users and groups \*\*
- Optional network maintenance using Microsoft Management Console\*\*

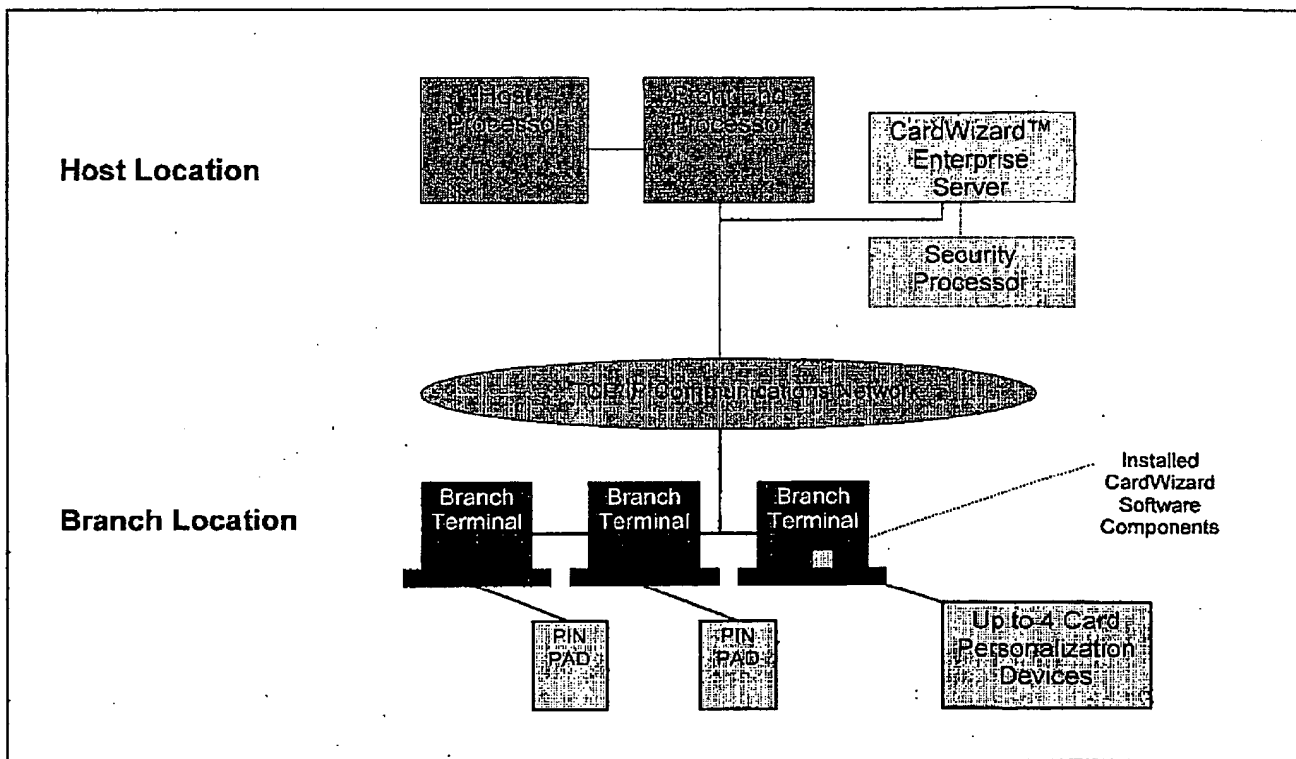
*\*\* May not be available in initial release*



CardWizard™ Enterprise Edition Network Diagram

## Diagram Comments

- "Host" and "Client UI" indicate hardware and software provided by financial institution.
- "Security Processor", "PIN Pads", "Smart Card Reader" and "Card Devices" indicate hardware devices.
- Dotted lines indicate optional components or connections.
- Client UI refers to a legacy or other client user-interface application in use by the financial institution. For example, this could be an existing platform automation system.



CardWizard™ Enterprise Edition Network Diagram

## Networking Notes

The Enterprise Edition provides a variety of networking capabilities.

- Ability to have specific PCs or Groups have cards produced on specific card personalization devices - anywhere in the network. See the section title "Routing of Card Production to Card Personalization Devices".
- Optional usage of Windows primary domain controller for specification of users and groups for access to CardWizard.
- For installations that use Windows 95/98, CardWizard provides its own user/group security system.

### ***Card Formats***

Card Formats are templates created using the CardWizard™ Designer component. Formats are stored in a database located at the Server component. A card format defines embossing, encoding and security access for the card format. Thus, there would be separate card formats defined for an ATM card, a VISA debit card, etc.

For different BIN numbers for the same type of card (e.g. VISA debit), you can either create a generic card format that works for all BIN numbers (e.g. "VISA Debit"), or you can create a unique card format for each BIN (e.g. "First National Bank VISA Debit" and "Second National Bank VISA Debit").

Administrators can specify which users/groups are allowed to produce each card format.

### ***Routing of Card Production to Card Personalization Devices***

Administrators can configure the CardWizard network as needed for proper usage of card personalization devices.

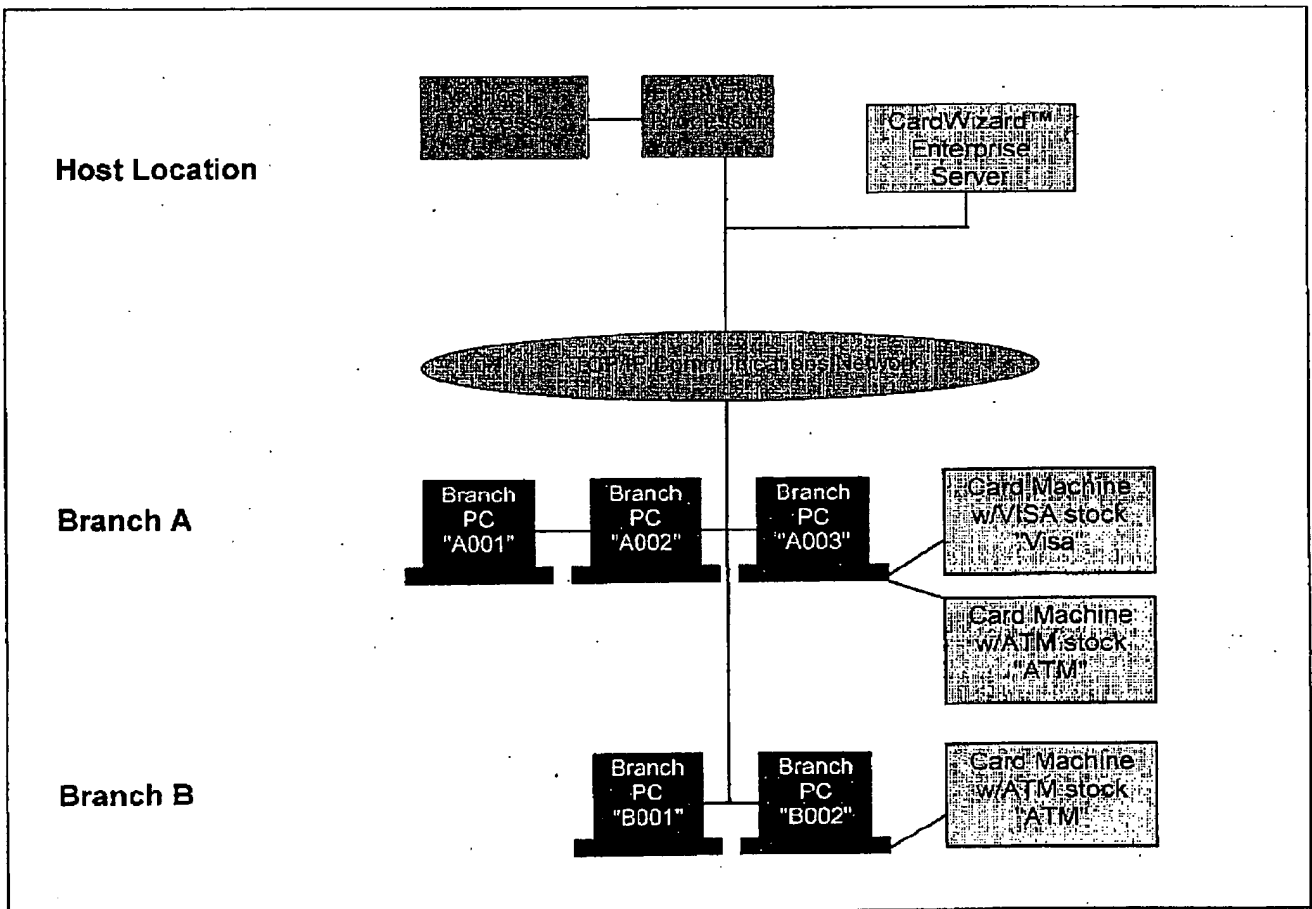
#### **Example**

Suppose we have a configuration with two branch locations. We have two card formats defined "ATM Card" and "VISA Debit".

Branch A has 3 PCs with access to CardWizard. Two card machines. One containing ATM card stock and the other containing VISA debit card stock. Due to security issues, the first PC is not allowed to produce VISA debit cards.

Branch B mostly issues ATM cards and has 2 PCs with access to CardWizard and only one card machine containing ATM card stock. Due to low volume, VISA debit cards will be inserting manually into the card machine as exception cards.

Visually, the configuration looks like the following:





Information within quotes is a unique computer name. For PCs, usually this is something designed by the institution. In this example, the machine name has the format Bnnn, where B=branch number and nnn=number of the PC in the branch. Names for the card machines are setup at CardWizard installation time and can be any meaningful name that is unique on that PC.

The *Card Machine Controller (CMC) Table* indicates all card machines in the network. Up to four card personalization devices can be controlled by a single CMC on a PC.

CD = Card Device

Type = type of device. E.g. 150=DataCard 150, 28x=DataCard 280 series, ICE=ImageCard Express

PC Name	CD 1 Name	CD 1 Type	CD 2 Name	CD 2 Type	CD 3 Name	CD 3 Type	CD 4 Name	CD 4 Type
A003	Visa	150	ATM	150				
B002	ATM	150						
C010	ATM	150						
C012	ATM	150						

CMC Table

PCs with access to the CardWizard system can be assigned to logical groups in the *Group Table*. Groups can be branches or departments within a physical branch. For example: Branch C has two groups of PCs that have access to CardWizard. One group is in their customer area. The other is two PCs located in a back office at the branch with their own card machine.

Group Name	PC Name	PC Name	PC Name	PC Name	...
Branch A	A001	A002	A003		
Branch B	B001	B002			
Branch C-1	C010	C011	C013		
Branch C-2	C012	C014			

Group Table

Using the *Card Machine Link Table*, both groups and individual PCs can be assigned to specific card machines for each card format. If no specification is made at the PC level, then the group default will be used. The "Exception Card?" column, indicates if the card must be manually inserted into the card machine. In the following example, anyone using PC 001 in branch A is only allowed to produce ATM cards. The other PCs can produce both ATM and VISA debit cards.

Every PC in Branch B can make either ATM or VISA debit cards. However, VISA debit cards must be inserted manually into the card machine (an exception card).

In Branch C, the Group "Branch C-1" share the same card machine, and the back office (Group "Branch C-2") has its own card machine.

Group/PC Name	"ATM Card"	Exception card?	"VISA Debit"	Exception card?	(additional card formats...)
Branch A	A003 "ATM"	No	A003 "Visa"	No	
Branch B	B002 "ATM"	No	B002 "ATM"	Yes	
A001	A003 "ATM"	No			
Branch C-1	C010 "ATM"	No	C010 "ATM"	Yes	
Branch C-2	C012 "ATM"	No	C012 "ATM"	Yes	

Card Machine Link Table

## Overview of Enterprise Edition

The Enterprise Edition of CardWizard provides increased flexibility and functionality that corporate networked environments demand. When appropriate, contrasts will be made with the current (Standard) CardWizard system.

### Security

The Standard CardWizard system provides a security system built around the "user" and a "security level" that is assigned to each card format. Although this is acceptable for smaller environments, it does not provide the flexibility that is often needed in enterprise environments. The Enterprise Edition, follows the Microsoft Windows NT security model and provides a wide range of security capabilities.

### Users and Groups

"Users" are the actual individuals who will be using features of the CardWizard system. Optionally, "groups" can be defined that contain "users". In this way, members of the group inherit the security allowed everyone in that group. For example, within a banking environment the following groups could have been defined with the indicated permissions and privileges.

#### CSR

Members of this group (customer server representatives) issue cards to customers but who are not allowed to do network administration, user maintenance and view reports.

#### Branch Supervisor

Members of this group can grant overrides for cards being repinned, authorize opening of the card machine, and view reports for their branch.

#### Network Supervisor

Members of this group can make changes to the CardWizard network. Create new users and groups. View reports for any branch.

We then assign the following users to these groups.

#### CSR

Robert, Mary, Steve, Sam, Lee, Ann

#### Branch Supervisor

Linda, Betty, John

#### Network Supervisor

Lilly, Ron

### Permissions/Privileges

Once groups and users have been defined, we can define the permissions and privileges for each.

#### Normal CardWizard User

Members of this group issue cards to customers but who are not allowed to do network administration, user maintenance and view reports.

## Exhibit B

### Scenarios

#### CMC component Begins Session with Enterprise Server

The CMC component will be installed to auto-start whenever the PC is powered on. When the CMC component starts, it tries to establish a connection with the E-Server. If unable to do so, it will remain in a loop trying every 15 seconds. Once a connection is established, if the machine running the CMC IP-address does not exist in table "PCs" the method will fail. (All computers that are allowed access to the CardWizard system must have been previously defined in the "PC" table.)

If the method is successful, the E-Server will return information regarding the configuration of up to four devices for the CMC component. Generally, this will be the type of card machine, port number, etc.

The CMC will then "start" up the assigned devices and report back to the E-Server their status using the method "CMCDeviceStatusUpdate".

A "CMC Session" is created and stored in the collection "colCMCSessions".

#### CMC component Ends Session with Enterprise Server

The session object is removed. Any devices for this "ComputerIndex" in table "CMCdevices" are removed.

(need to worry about devices that are "busy" doing a task)  
(what about "CMCLinks" that are active for these devices?)

#### Client component Begins Session with Enterprise Server

A session is started for the client component. If the IP address does not exist in table "PCs" the method fails.

If the IP address is found, a client session is created and stored in the collection "colClientSessions".

#### Client submits a Card Request to Enterprise Server

The request includes the "LogicalType". The table "CMCLinks" is used to get the entry (if there) in table "CMCdevices".

## Methods

These are new methods in the "clsServerRequest" class for support of the E-Server environment.

### ***CMCBeginSession***

Used by the CMC component to begin a session with the E-Server. The server will in turn, tell the CMC component what devices (card machines) it is assigned. The CMC will attempt to initialize the devices. The status of each device will be reported back to the E-Server using the method "CMCDeviceStatusUpdate".

The CMC component will also inform the E-Server of an IP address and UDP port number to use for unsolicited message notification.

### ***CMCEndSession***

For some reason, the CMC component terminates. This method will change the status for the card machines and indicate the CMC is not active.

### ***CMCDeviceStatusUpdate***

Updates the current status for a CMC Device with the E-Server.

### ***CMCGetSession (private)***

Returns the object for the CMC session (if present)

### ***CMCRequestAdd (private)***

Adds a card request "pCardRequest" to the proper request queue for the CMC card machine device.

### ***CMCRequestDelete***

Private Sub CMCRequestDelete(pReturnCode As Integer, pSessionID As String, pRequestCounter As Integer)  
' deletes a card request

### ***CMCRequestGet***

Private Function CMCRequestGet(pSessionID As String, pRequestCounter As Integer) As clsCardRequest  
' returns a card request object

### ***CMCRequestStatusSet***

Private Sub CMCRequestStatusSet(pReturnCode As Integer, pSessionID As String, pRequestCounter As Integer, pStatus As Integer)  
' sets the status for a card request

## Network Administration Functions

The Enterprise Server requires additional administration functions. These will be available from either a new component (Enterprise Server Console component) or added to the current Administrator Component.

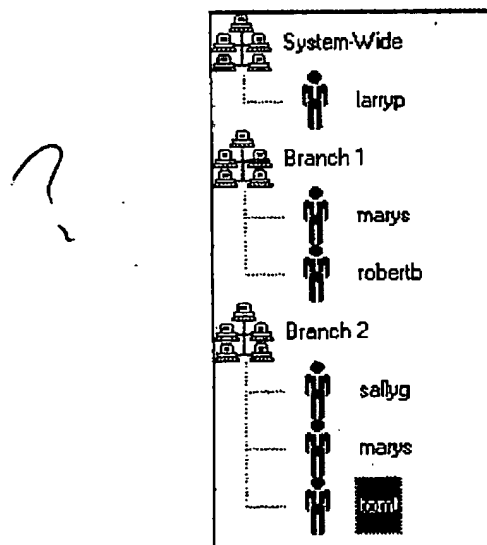
### Group and User Maintenance

#### Functions

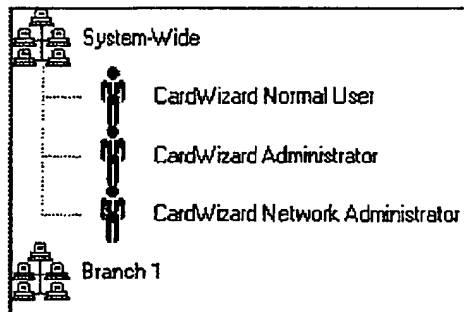
- Create a new group
- Delete an existing group
- Change the name of a group
- Create a new user
- Delete an existing user
- Assign the user to a group or to the system-wide "group". System-Wide refers to the entire CardWizard network.
- Move a user from one group to another group (drag-and-drop)
- Copy a user from one group to another group (drag-and-drop)

#### User Interface

It would be nice to use a tree view and let the user "drag and drop" users between groups. A user can be assigned to multiple groups. Should the user profile be the same or allow changes for different groups?



In the above example, there are two groups. One group has two users defined "marys" and "robertb", the other has three "sallyg" "marys" and "tomt". There is one user defined for "system-wide" usage "larryp". One of the users, "marys" is defined for both Branch 1 and Branch 2 groups.



In this example, we have previously defined three special NT user groups. Thus, any NT user that belongs to the NT group "CardWizard Normal User" will be able to use the normal client component for CardWizard at any branch.

The "CardWizard Administrator" would allow usage of the Administrator component at any branch. While the "CardWizard Network Administrator" would be used for the person(s) who can use the E-Server Console component.

## Group and Machine Maintenance

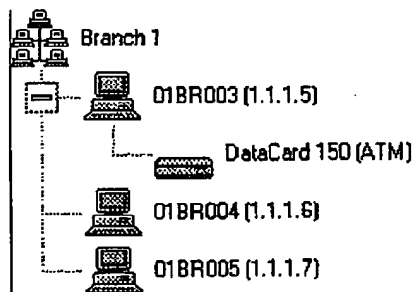
The CardWizard network consists of various *computers* that have authority for access to the Enterprise Server. In addition, computers can have up to four *card machines* attached.

### Functions

- Create a new group
- Delete an existing group
- Change the name of a group
- Create a new computer
- Delete an existing computer
- Assign the computer to a group or to the system-wide "group"
- Create a new card machine
- Delete an existing card machine
- Assign a card machine to a computer

### User Interface

It would be nice to use a tree view and let the user "drag and drop" computers between groups, and card machines between computers.



In the above example, the group called "Branch 1" has three computers that have access to CardWizard. One of these computers (machine name = "01BR003") has a card machine attached with the name "DataCard 150 (ATM)". The name implies that it contains blank ATM card stock.

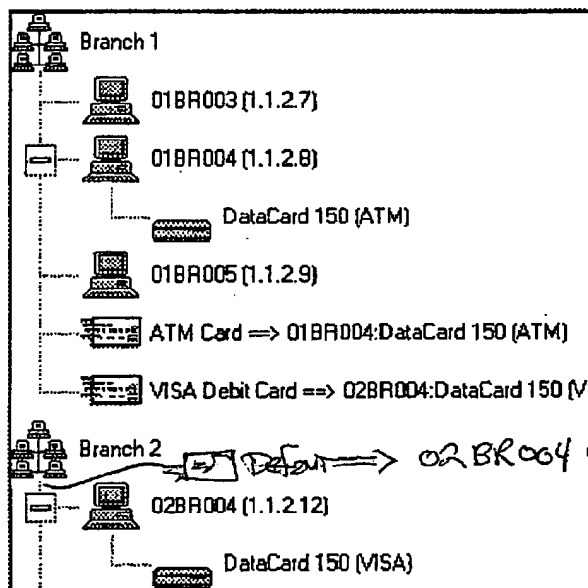
## Card Production Linking Maintenance

In order to produce a card, a routing "link" must be established for the card format at either the computer that the card is being produced from, or the group that the computer is a member. This allows restricting various card formats and also specification of which card machine will produce the cards.

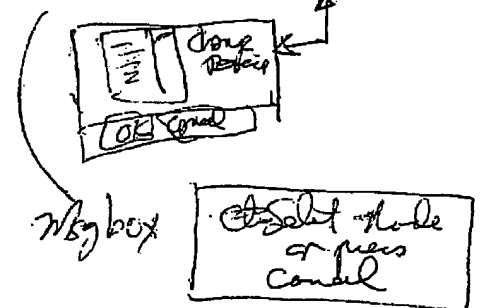
### Functions

- Create a new link
- Change an existing link
- Delete an existing link

links can be attached to either a computer or a group. links are specific for each card format. There is also a "Default" card format, that can be used for card formats not specified. In addition, if the card is to be treated as an exception card, this will be displayed also. need to figure out how to display this. maybe have an icon that shows the card with a "hand" holding the card?



1. create new "link" under Group or PC.
2. popup asks for card format / default.
3. click on the device.



In the above example, ATM cards produced at any of the authorized computers in Branch 1 will be produced on the card machine attached to computer with name "01BR004". Any VISA Debit cards will be produced at Branch 2 on the card machine attached to computer with name "02BR004".

=> Branch 1: DataCard 150



## Miscellaneous Things To Change

Method "GetCardMachineStatus" needs to include an argument for the "Card Format Name". Since the user can physically use different card machines for different card formats, we will return the status for the appropriate machine.

Need a way to handle "Open Card Machine". way to specify which device for remote override.

*add Group Index for?*

*Activity Log*

*Production Log*

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